

SEC NEWS DIGEST

Issue 2001-215

November 7, 2001

COMMISSION ANNOUNCEMENTS

SECURITIES AND EXCHANGE COMMISSION STATEMENT ON TREASURY LONG BOND SITUATION

The Securities and Exchange Commission today issued the following statement:

“Following a referral from the Department of the Treasury, we have initiated an investigation into the circumstances surrounding the announcement of the Treasury’s decision to end its 30-year bond offerings.” Enforcement Division Director Stephen Cutler added: “In keeping with our responsibilities to ensure the integrity of the nation’s securities markets, we will vigorously pursue this matter. During the course of this investigation, we will decline to comment further.” (Press Rel. 2001-131)

FIVE PAPERS TO BE DELIVERED AT SEC HISTORICAL SOCIETY MAJOR ISSUES CONFERENCE

The Securities and Exchange Commission today announced that the upcoming SEC Historical Society’s Major Issue Conference on Securities Regulation in the Global Internet Economy—which is sponsored by the Securities and Exchange Commission Historical Society, in cooperation with the Commission and with the support of the Northwestern University School of Law—will feature five papers that will explore the fundamentals of securities regulation in the 21st century.

Each of the papers will provide a foundation for discussion among distinguished panels of U.S. and foreign securities regulators, stock market officials, accountants, lawyers and academics.

“I believe these papers are timely and highly provocative. While the positions taken in these papers are the opinions of the respective authors, they will be a catalyst for lively discussion among the panel members. Success in developing public policy can only be achieved through open and vigorous debate of the issues,” said SEC Chairman Harvey L. Pitt. “I anticipate that everyone who attends will gain a great deal of insight into the issues that may shape the Commission’s agenda in the coming years. The Historical

Society should take pride in its success assembling such a distinguished group of panelists representing such a wide spectrum of views and backgrounds.”

The papers will cover a broad array of regulatory interests and challenges, including:

- “Recent Developments in SEC Information-Sharing Arrangements” analyzes the concept of “sovereignty” and jurisdiction in today’s complex, global markets and discusses recent challenges to the ability of securities regulators to share information across international boundaries.
- “The Investment Company Act of 1940: At the Frontiers” examines the ’40 Act and the emergence of mutual fund alternatives, including hedge funds, online portfolio services and wrap accounts.
- “Lending a Hand to the Invisible Hand: How a National Market System Contributes to the Evolution of the U.S. Securities Marketplace” discusses the core purposes of the national market system—eliminating anticompetitive burdens and promoting cross-market access to market information and trading opportunities—at a time technology is transforming the marketplace.
- “Accounting in a Global Market: Looking to the Future” traces the recent history of efforts to create a global financial system and suggests key issues that must be resolved for an international financial accounting system to be successful.
- “Building on the International Convergence of the Global Markets: A model for Securities Law Reform” sets out fundamental goals that should underlie any effort to facilitate raising capital in foreign markets without sacrificing investor protection.

The conference will also feature addresses by U.S. Senator Paul Sarbanes, Chairman of the Senate Committee on Banking, Housing and Urban Affairs, Michel Prada, Chairman of the French Commission des Operations de Bourse, and SEC Chairman Harvey Pitt.

Supported by the SEC and the Northwestern School of Law, the Major Issues Conference will take place November 14-15 at the Grand Hyatt Hotel, 1000 H Street NW in Washington, D.C.

A complete list of conference speakers is attached, and the entire agenda and registration form are available on the Commission’s website at www.sec.gov. For additional information, please contact R.A. Pete Wentz, Associate Dean, Northwestern University School of Law at (312) 503-1828.

The Securities and Exchange Commission Historical Society was founded in 1999. It works to preserve the history of the SEC, to sponsor research and educational programs

regarding the SEC, and to enhance understanding of the United States and world capital markets. (Press Rel. 2001-132)

REPORT ON ADMINISTRATIVE PROCEEDINGS FOR THE PERIOD APRIL 1, 2001 THROUGH SEPTEMBER 30, 2001

A Report on Administrative Proceedings for the period April 1, 2001 through September 30, 2001 has been issued, giving summary statistical information on the Commission's administrative proceedings caseload. The reports, issued each October and April, are published in the SEC Docket and appear on the Commission's website. (Rel. 34-45008, October 31, 2001)

ENFORCEMENT PROCEEDINGS

PROCEEDINGS AGAINST IMS/CPAs & ASSOCIATES, VERNON HALL, STANLEY HARGRAVE AND JEROME VERNAZZA HELD

The Commission today found that IMS/CPAs & Associates (IMS), a registered investment adviser, Jerome B. Vernazza, formerly a registered investment adviser and a control person of IMS, and Vernon T. Hall and Stanley Hargrave, two other control persons of IMS, made material misrepresentations and omissions in various Forms ADV, engagement letters, and disclosure statements and thereby willfully violated Section 17(a) of the Securities Act of 1933 (Securities Act) and Section 10(b) of the Securities and Exchange Act of 1934 (Exchange Act) and Rule 10b-5 thereunder. The Commission also found that IMS and Vernazza willfully violated Sections 206(1) and (2) of the Investment Advisers Act of 1940 ("Advisers Act"), and that Hall and Hargrave, as well as Vernazza, aided and abetted and caused said violations by IMS. The Commission further found that IMS and Vernazza, as registered investment advisers, willfully violated Section 207 of the Advisers Act in filings with the Commission, and that Hargrave, the IMS partner responsible for preparing and making IMS's investment adviser filings, also willfully violated Section 207.

The basis for the Commission's findings was the respondents' failure to disclose the existence of a financial interest or economic benefit in certain recommendations they made to their clients. Respondents had a servicing agreement with another investment adviser to provide administrative support services for a family of funds managed by the other adviser. IMS's compensation under the agreement was determined as a percentage of the amount of money invested by clients of IMS in the family of funds. Thus, the amount of money IMS received pursuant to the agreement was a function of how many of its clients followed respondents' recommendations to invest in the family of funds.

The Commission accordingly suspended IMS's investment adviser registration for six months; suspended Hall, Hargrave and Vernazza from being associated with an

investment adviser for six months; and ordered all respondents to cease and desist from committing or causing any violations and any future violations of the antifraud provisions of Section 17(a) of the Securities Act and Section 10(b) of the Exchange Act and Rule 10b-5 thereunder. The suspensions are effective 14 days from the date of the Commission's order. The Commission further ordered IMS and Vernazza to cease and desist from committing or causing, and ordered Hall and Hargrave to cease and desist from causing, any violations and any future violations of the antifraud provisions of Section 206 of the Advisers Act. The Commission also ordered respondents to disgorge \$75,032.78, jointly and severally, minus any amount Vernazza may have refunded to clients, plus prejudgment interest. Finally, the Commission ordered IMS, Hargrave and Vernazza to cease and desist from committing any violations and future violations of Section 207 of the Advisers Act. (Rel. 33-8031; 34-45019; IA-1994; File No. 3-9042)

INVESTMENT COMPANY ACT RELEASES

AAL VARIABLE PRODUCT SERIES FUND, ET AL.

A notice has been issued giving interested persons until December 3, 2001, to request a hearing on an application filed by AAL Variable Product Series Fund, et al. for an order exempting applicants from Sections 12(d)(1) and 17(a) of the Investment Company Act and permitting joint transactions in accordance with Section 17(d) and Rule 17d-1 under the Act. The order would permit certain registered open-end management investment companies to use their cash reserves to purchase shares of an affiliated money market fund. (Rel. IC-25253 – November 6)

THE AAL MUTUAL FUNDS, ET AL.

A notice has been issued giving interested persons until December 3, 2001, to request a hearing on an application filed by The AAL Mutual Funds, et al. for an order exempting applicants from Sections 12(d)(1) and 17(a) of the Investment Company Act and permitting joint transactions in accordance with Section 17(d) and Rule 17d-1 under the Act. The order would permit certain registered open-end management investment companies to use their cash reserves to purchase shares of an affiliated money market fund. (Rel. IC-25254 – November 6)

LINDNER INVESTMENTS AND LINDNER ASSET MANAGEMENT, INC.

A notice has been issued giving interested persons until November 29 to request a hearing on an application filed by Lindner Investments and Lindner Asset Management, Inc., for an order granting exemptions from Section 15(a) of the Investment Company Act and Rule 18f-2 under the Act. The order would permit applicants to enter into and materially amend subadvisory agreements without shareholder approval. (Rel. IC-25255 –November 6)

SELF-REGULATORY ORGANIZATIONS

IMMEDIATE EFFECTIVENESS OF PROPOSED RULE CHANGES

A proposed rule change filed by the National Association of Securities Dealers to extend the Pilot for Limit Order Protection of securities priced in decimals (SR-NASD-2001-80) has become effective under Section 19(b)(3)(A) of the Securities Exchange Act of 1934. Publication of the proposal is expected in the Federal Register during the week of November 12. (Rel. 34-45020)

A proposed rule change filed by The Options Clearing Corporation to allow OCC to amend its rules and by-laws to eliminate the theoretical ability of clearing members to choose a correspondent clearing corporation (SR-OCC-2001-15) has become effective under Section 19(b)(3)(A) of the Exchange Act. Publication of the proposal is expected in the Federal Register during the week of November 12. (Rel. 34-45030)

A proposed rule change filed by The Options Clearing Corporation to allow OCC to correct an erroneous cross-reference in Section 5(e) of Article VIII of OCC's by-laws (SR-OCC-2001-14) has become effective under Section 19(b)(3)(A) of the Exchange Act. Publication of the proposal is expected in the Federal Register during the week of November 12. (Rel. 34-45031)

PROPOSED RULE CHANGE

The Commission published notice of a proposed rule change (SR-OCC-2001-04) filed by The Options Clearing Corporation under Section 19(b)(1) of the Exchange Act. The proposed rule change would expand the types of debt securities that clearing members may deposit with OCC as margin collateral to include non-callable debt securities issued by the Federal Home Loan Mortgage Corporation and the Federal National Mortgage Association. Publication of the proposal is expected in the Federal Register during the week of November 5. (Rel. 34-45021)

ACCELERATED APPROVAL OF PROPOSED RULE CHANGE

The Commission granted accelerated approval to a proposed rule change (SR-NASD-2001-79) submitted by the National Association of Securities Dealers that provides for the listing and trading of Enhanced Return Notes Linked to the Nasdaq-100 Index. Publication of the order is expected in the Federal Register during the week of November 5. (Rel. 34-45024)

DELISTINGS GRANTED

An order has been issued granting the application of the New York Stock Exchange to strike from listing and registration the Class A Common Stock, \$.01 par value, of Asia Pacific Resources International Holdings, Ltd., effective at the opening of business on November 7, 2001. (Rel. 34-45033)

An order has been issued granting the application of the New York Stock Exchange to strike from listing and registration the Common Stock, \$.01 par value, 10.5% Series A Senior Cumulative Preferred Stock, and 8.5% Series B Cumulative Participating Convertible Preferred Stock of Prime Retail, Inc., effective at the opening of business on November 7, 2001. (Rel. 34-45034)

An order has been issued granting the application of the New York Stock Exchange to strike from listing and registration the Liquid Yield Option Notes due September 20, 2011 (Zero Coupon – Subordinated), of The Pep Boys-Manny, Moe & Jack, effective at the opening of business on November 7, 2001. (Rel. 34-45035)

SECURITIES ACT REGISTRATIONS

The following registration statements have been filed with the SEC under the Securities Act of 1933. The reported information appears as follows: Form, Name, Address and Phone Number (if available) of the issuer of the security; Title and the number and/or face amount of the securities being offered; Name of the managing underwriter or depositor (if applicable); File number and date filed; Assigned Branch; and a designation if the statement is a New Issue.

Registration statements may be obtained in person or by writing to the Commission's Public Reference Branch at 450 Fifth Street, N.W., Washington, D.C. 20549 or at the following e-mail box address: <publicinfo@sec.gov>. In most cases, this information is also available on the Commission's website: <www.sec.gov>.

F-3 BIOMIRA INC, 2011-94TH STREET, EDMONTON ALBERTA CAN, A0 (403) 450-3761
- 5,500,000 (\$22,165,000) FOREIGN COMMON STOCK. (FILE 333-14056 - OCT. 30)
(BR. 1)

S-8 MICRO COMPONENT TECHNOLOGY INC, 2340 W COUNTY RD C, ST PAUL, MN 55113
(651) 697-4000 - 450,000 (\$855,000) COMMON STOCK. (FILE 333-72508 - OCT. 31) (BR. 5)

S-8 MATRIA HEALTHCARE INC, 1850 PARKWAY PL, 12TH FL, MARIETTA, GA 30067
(770) 423-4500 - 50,000 (\$1,136,750) COMMON STOCK. (FILE 333-72512 - OCT. 31) (BR. 1)

- S-8 SEARS ROEBUCK & CO, 3333 BEVERLY RD B-5 317A, HOFFMAN ESTATES, IL
60179
(847) 286-2500 - 15,000,000 (\$571,050,000) COMMON STOCK. (FILE 333-
72514 -
OCT. 31) (BR. 2)
- S-8 Matria HEALTHCARE INC, 1850 PARKWAY PL, 12TH FL, MARIETTA, GA 30067
(770) 423-4500 - 250,000 (\$5,683,750) COMMON STOCK. (FILE 333-72516 -
OCT. 31) (BR. 1)
- S-8 CONCORD COMMUNICATIONS INC, 600 NICKERSON RD, MARLBORO, MA 01752
(508) 460-4646 - 500,000 (\$6,630,000) COMMON STOCK. (FILE 333-72518 -
OCT. 31) (BR. 3)
- S-8 POLYCOM INC, 1565 BARBER LANE, MILPITAS, CA 95035 (408) 526-9000 -
1,231,593 (\$39,423,291.93) COMMON STOCK. (FILE 333-72544 - OCT. 31)
(BR. 3)
- S-8 PALM INC, 5470 GREAT AMERICA PARKWAY, SANTA CLARA, CA 95052
(408) 326-9000 - 6,000,000 (\$14,070,000) COMMON STOCK. (FILE 333-72568
-
OCT. 31) (BR. 3)
- S-8 KIRBY CORP, 55 WAUGH DR STE 1000, HOUSTON, TX 77385 (713) 435-1000 -
2,000,000 (\$200,000) COMMON STOCK. (FILE 333-72592 - NOV. 01) (BR. 5)

RECENT 8K FILINGS

Form 8-K is used by companies to file current reports on the following events:

- Item 1. Changes in Control of Registrant.
- Item 2. Acquisition or Disposition of Assets.
- Item 3. Bankruptcy or Receivership.
- Item 4. Changes in Registrant's Certifying Accountant.
- Item 5. Other Materially Important Events.
- Item 6. Resignations of Registrant's Directors.
- Item 7. Financial Statements and Exhibits.
- Item 8. Change in Fiscal Year.
- Item 9. Regulation FD Disclosure.

The following companies have filed 8-K reports for the date indicated and/or amendments to 8-K reports previously filed, responding to the item(s) of the form specified. 8-K reports may be obtained in person or by writing to the Commission's Public Reference Branch at 450 Fifth Street, N.W., Washington, D.C. 20549 or at the following e-mail box address: <publicinfo@sec.gov>. In most cases, this information is also available on the Commission's website: <www.sec.gov>.

NAME OF ISSUER	STATE CODE	8K ITEM NO.									DATE	COMMENT
		1	2	3	4	5	6	7	8	9		
A NOVO BROADBAND INC	OH		X					X			09/04/01	AMEND
AAMES FINANCIAL CORP/DE	DE				X	X					11/02/01	
ABC BANCORP	GA				X	X					11/05/01	
ACCESS PHARMACEUTICALS INC	DE				X						10/19/01	
ACKERLEY GROUP INC	DE				X	X					11/01/01	
ADVANCED TISSUE SCIENCES INC	DE				X						11/05/01	
ALLIANCE PHARMACEUTICAL CORP	NY				X	X					10/31/01	
ALLOY INC	DE				X	X					11/01/01	
AMEDISYS INC	DE				X	X					11/05/01	
AMERICAN EXPRESS CENTURION BANK	UT				X	X					11/06/01	
AMERICAN EXPRESS MASTER TRUST	DE				X	X					11/06/01	
AMERICAN EXPRESS RECEIVABLES FINANC ING CORP	DE				X	X					11/06/01	
AMERICAN INTERNATIONAL GROUP INC	DE							X			11/06/01	
AMERICAN MEDICAL ALERT CORP	NY				X						11/01/01	
AMERIGAS FINANCE CORP	DE					X					08/21/01	AMEND
AMERIGAS PARTNERS LP	DE					X					08/21/01	AMEND
APCOA INC	DE				X	X					11/06/01	
APPLEBEES INTERNATIONAL INC	DE				X						11/06/01	
ARGONAUT GROUP INC	DE		X								08/23/01	AMEND
ASIA GLOBAL CROSSING LTD					X	X					11/06/01	
ASSISTED LIVING CONCEPTS INC	NV				X	X					10/30/01	
ATCHISON CASTING CORP	KS				X	X					11/06/01	
ATLANTIC COAST AIRLINES HOLDINGS IN C	DE				X						11/07/01	
BALLY TOTAL FITNESS HOLDING CORP	DE				X	X					11/06/01	
BANC OF AMERICA COMMERCIAL MORTGAGE INC	DE				X	X					11/05/01	
BANTA CORP	WI				X	X					11/05/01	
BAXTER INTERNATIONAL INC	DE				X	X					11/05/01	
BEAR STEARNS COMMERCIAL MORTGAGE SE CURITIES TRUST 2001-TOP4	DE				X	X					11/05/01	
BIO SOLUTIONS INTERNATIONAL INC	NV				X	X					11/05/01	
BRL UNIVERSAL EQUIPMENT CORP	DE		X			X					10/23/01	
BRL UNIVERSAL EQUIPMENT 2001 A L P	DE		X			X					10/23/01	
BROWN & BROWN INC	FL		X								11/01/01	
C & S BANCORPORATION INC	GA				X	X					10/22/01	
CALIFORNIA MICRO DEVICES CORP	CA				X						09/21/01	
CAPITAL ONE MASTER TRUST	VA				X	X					11/01/01	
CARBIDE GRAPHITE GROUP INC /DE/	DE				X	X					11/02/01	
CERIDIAN CORP /DE/	DE				X	X					11/06/01	
CHESAPEAKE CORP /VA/	VA				X	X					11/05/01	
CLEVELAND CLIFFS INC	OH							X			11/02/01	
COCA COLA ENTERPRISES INC	DE				X			X			10/16/01	
CONTINENTAL AIRLINES INC /DE/	DE							X	X		11/06/01	
CREATIVE TECHNOLOGIES HOLDINGS INC	NV				X						11/05/01	
CRITICAL PATH INC	CA				X	X					09/24/01	
CROWN ENERGY CORP	UT				X						11/06/01	
CRYO CELL INTERNATIONAL INC	DE				X						11/06/01	
CSB BANCORP INC /OH	OH				X	X					11/06/01	
CSFB MORTGAGE PASS THROUGH CERTIFIC ATES SERIES 2001 HE20	DE				X	X					09/25/01	

NAME OF ISSUER	STATE	8K ITEM NO.									DATE	COMMENT
	CODE	1	2	3	4	5	6	7	8	9		
CT HOLDINGS INC	DE				X			X			10/30/01	
CTN MEDIA GROUP INC	DE					X		X			10/31/01	
CURAGEN CORP	DE				X			X			10/23/01	
DATATEC SYSTEMS INC	DE				X			X			11/02/01	
DIGITALREACH HOLDINGS INC						X					11/05/01	
DISCOUNT MORTGAGE SOURCE INC	TX	X	X		X			X	X		11/06/01	
DISTINCTIVE DEVICES INC	NY		X					X			10/31/01	
DIVINE INC	DE				X			X			11/01/01	
DT INDUSTRIES INC	DE									X	11/06/01	
DTVN HOLDINGS INC	DE				X			X			10/11/01	
DWFCM INTERNATIONAL ACCESS FUND LP	DE				X						08/30/99	
EBENX INC	MN									X	11/06/01	
EDGE PETROLEUM CORP	DE				X						11/05/01	
EDWARDS J D & CO	CO				X			X			11/05/01	
ELLETT BROTHERS INC	SC				X			X			11/06/01	
EMERGENCY FILTRATION PRODUCTS INC/ NV	NV				X						11/01/01	
ENCHIRA BIOTECHNOLOGY CORP	DE				X			X			11/05/01	
EPIQ SYSTEMS INC	MO					X					11/06/01	
EPS SOLUTIONS CORP	DE		X		X	X					10/29/01	
ESS TECHNOLOGY INC	CA				X			X			11/06/01	
FIRST COMMERCE CORP	NC				X			X			11/05/01	
FIRST WASHINGTON FINANCIAL CORP	NJ				X			X			10/22/01	
FLEMING COMPANIES INC /OK/	OK							X		X	11/06/01	
FOREST OIL CORP	NY				X						11/06/01	
FORTUNE BRANDS INC	DE							X		X	11/06/01	
FREEREALTIME COM INC	DE				X			X			10/23/01	
FRONTLINE CAPITAL GROUP	DE				X			X			10/25/01	
FUNDTECH LTD								X		X	10/31/01	
GENCORP INC	OH		X					X			10/19/01	
GENERAL MILLS INC	DE							X			10/31/01	AMEND
GERON CORPORATION	DE				X			X			11/02/01	
GLOBAL CROSSING LTD					X			X			11/06/01	
GLOBAL MARINE INC	DE				X			X			11/05/01	
GLOBAL MARINE INC	DE							X		X	11/06/01	
GOODRICH CORP	NY							X		X	11/06/01	
GRANGE NATIONAL BANC CORP	PA				X			X			10/31/01	
GREATER BAY BANCORP	CA				X			X		X	11/02/01	
GROUP 1 SOFTWARE INC	DE				X						11/06/01	
GS MORTGAGE SECURITIES CORP	DE				X						11/05/01	
GUILFORD MILLS INC	DE				X			X			12/30/01	
HADRON INC	NY				X			X			11/01/01	
HADRON INC	NY				X			X			11/05/01	
HAIN CELESTIAL GROUP INC	DE				X			X			11/05/01	
HALLIBURTON CO	DE				X			X			11/01/01	
HANCOCK JOHN FINANCIAL SERVICES INC					X						11/01/01	
HANOVER COMPRESSOR CO /	DE				X						11/02/01	
HARRIS INTERACTIVE INC	DE		X					X			11/01/01	
HAWAIIAN ELECTRIC INDUSTRIES INC	HI				X						11/05/01	
HEWLETT PACKARD CO	DE				X			X			11/05/01	
HIGH COUNTRY BANCORP INC	CO				X			X			11/05/01	
HORMEL FOODS CORP /DE/	DE				X			X			10/25/01	

NAME OF ISSUER	STATE CODE	8K ITEM NO.									DATE	COMMENT
		1	2	3	4	5	6	7	8	9		
HYBRID NETWORKS INC	DE				X						11/06/01	
IDIAL NETWORKS INC	NV	X					X				10/12/00	
IKON OFFICE SOLUTIONS INC	OH								X		11/06/01	
INFRACOR INC	VA				X		X				10/30/01	
INTERNATURAL PHARMACEUTICALS INC					X						11/05/01	
INTRUSION COM INC	DE				X		X				11/01/01	
ISTAR FINANCIAL INC	MD						X				10/30/01	
ITSA LTD					X		X				02/05/01	
KIMBALL INTERNATIONAL INC	IN				X						11/06/01	
KNOWLEDGE NETWORKS INC					X						11/06/01	
LABORATORY CORP OF AMERICA HOLDINGS	DE								X		11/05/01	
LEUCADIA NATIONAL CORP	NY	X					X				08/21/01	AMEND
LIBERTY CORP	SC								X		11/06/01	
LIFE FINANCIAL CORP	DE				X		X				10/29/01	
LINCOLN NATIONAL CORP	IN				X		X				11/02/01	
LIQUID AUDIO INC	DE				X		X				11/06/01	
MAGNA ENTERTAINMENT CORP	DE				X		X				11/02/01	
MASSEY ENERGY CO	DE								X		10/30/01	
MAX & ERMAS RESTAURANTS INC	DE				X		X				11/01/01	
MAXUM DEVELOPMENT INC	MA			X							08/10/01	AMEND
MEMBERWORKS INC	DE	X					X				08/24/01	AMEND
METLIFE INC	DE				X		X				11/06/01	
METRIS MASTER TRUST	DE						X				09/30/01	
METRIS MASTER TRUST	DE						X				09/30/01	
METRIS RECEIVABLES INC	DE						X				09/30/01	
METRIS RECEIVABLES INC	DE						X				09/30/01	
MEXICAN RESTAURANTS INC	TX				X		X				10/26/01	
MICROSEMI CORP	DE				X		X		X		08/16/01	AMEND
MICROSEMI CORP	DE				X		X		X		11/05/01	
MID-STATE HOMES INC	FL				X		X				11/01/01	
MOCON INC	MN	X					X				10/24/01	
MODEM MEDIA INC	DE				X						11/06/01	
MONEY STORE ASSET BACKED CERTIFICAT ES SERIES 1998-B					X		X				10/15/01	
MONEY STORE HOME EQUITY LOAN TRUST 1998-A	NJ				X		X				10/15/01	
MONEY STORE HOME IMPROVEMENT LOAN B ACKED CERT SERIES 1998-I					X		X				10/15/01	
MONEY STORE RESIDENTIAL TRUST 1998- I	NJ				X		X				10/15/01	
MONEY STORE TRUST 1998 C					X		X				10/15/01	
MORGAN STANLEY DEAN WITTER CHARTER GRAHM LP	DE				X						08/30/99	
MORGAN STANLEY DEAN WITTER CHARTER MILLBURN LP	DE				X						08/30/99	
MORGAN STANLEY DEAN WITTER CHARTER WELTON LP	DE				X						08/30/99	
NAVISTAR FINANCIAL RETAIL RECEIVABL ES CORPORATION	DE				X		X				11/02/01	
NEOMEDIA TECHNOLOGIES INC	DE				X						10/24/01	AMEND
NETDIGEST COM INC	DE				X	X	X				09/25/01	AMEND
NETOPIA INC	DE				X		X				11/06/01	

NAME OF ISSUER	STATE	8K ITEM NO.									DATE	COMMENT
	CODE	1	2	3	4	5	6	7	8	9		
NETSILICON INC	MA				X	X					10/30/01	
NEW YORK HEALTH CARE INC	NY				X	X					10/11/01	AMEND
NEWAGECITIES COM INC	FL	X									11/05/01	AMEND
NORTEL NETWORKS CORP					X	X					11/06/01	
NORTEL NETWORKS LTD					X	X					11/06/01	
NORTHLAND CRANBERRIES INC /WI/	WI				X	X					11/06/01	
NORTHLAND CRANBERRIES INC /WI/	WI				X	X					11/06/01	
NOVELL INC	DE				X						11/06/01	
NX NETWORKS INC	DE				X	X					10/10/01	
OAO TECHNOLOGY SOLUTIONS INC	DE				X	X					10/22/01	
ODYSSEY HEALTHCARE INC	DE				X	X					10/30/01	
OPHIDIAN PHARMACEUTICALS INC	DE					X					08/21/01	AMEND
OXIGENE INC	DE				X	X		X			10/31/01	
PCB HOLDING CO	IN				X	X					11/05/01	
PENTAICON INC	DE				X						11/01/01	
PETROCAL INC	DE	X									07/31/01	AMEND
PHILADELPHIA CONSOLIDATED HOLDING C ORP	PA				X	X					11/02/01	
PHOTONICS CORP	CA	X				X	X				10/18/01	
PMI GROUP INC	DE							X			11/06/01	
POGO PRODUCING CO	DE				X	X					11/06/01	
POTOMAC EDISON CO	MD				X	X					11/06/01	
PPI CAPITAL GROUP INC	UT	X			X	X					10/26/01	
PREMIER MORTGAGE RESOURCES INC	NV				X						11/01/01	
PREMIER MORTGAGE RESOURCES INC	NV				X						11/01/01	AMEND
PRODIGY COMMUNICATIONS CORP	DE	X									11/01/01	
PROVINCE HEALTHCARE CO	DE				X	X					10/29/01	
RECKSON ASSOCIATES REALTY CORP	MD					X	X	X			11/06/01	
RECKSON OPERATING PARTNERSHIP LP	DE					X	X	X			11/06/01	
REGENCY AFFILIATES INC	DE				X	X					10/01/01	AMEND
REGISTER COM INC	DE				X	X					11/05/01	
RENAISSANCE ACCEPTANCE GROUP INC	DE				X	X					07/02/01	AMEND
RESIDENTIAL ASSET MORTGAGE PRODUCTS INC	DE				X	X					09/25/01	
RESTORATION HARDWARE INC	CA				X						11/06/01	
ROCKWELL COLLINS INC	DE				X	X					11/06/01	
ROPER INDUSTRIES INC /DE/	DE				X	X					11/06/01	
RSA SECURITY INC/DE/	DE				X	X					11/05/01	
RURAL CELLULAR CORP	MN					X		X			11/05/01	
RUSSELL-STANLEY HOLDINGS INC	DE				X	X					11/05/01	
SAFEWAY INC	DE				X	X					11/05/01	
SALON MEDIA GROUP INC	DE				X						10/24/01	
SAUER DANFOSS INC	DE				X						10/31/01	
SCHEIB EARL INC	DE				X						10/08/01	
SCILABS HOLDINGS INC	DE				X						11/05/01	
SCREAMING MEDIA COM INC	DE					X					08/21/01	AMEND
SENIOR CARE INDUSTRIES INC	NV				X	X					07/05/01	
SHIMODA RESOURCES HOLDINGS INC	NV				X						10/31/01	AMEND
SIGMATRON INTERNATIONAL INC	DE				X		X				10/31/01	
SLM FUNDING CORP	DE				X	X					10/25/01	
SOUTH ALABAMA BANCORPORATION INC	AL				X	X					11/02/01	
SSP SOLUTIONS INC	DE	X			X	X					08/24/01	AMEND

NAME OF ISSUER	STATE CODE	8K ITEM NO.									DATE	COMMENT
		1	2	3	4	5	6	7	8	9		
STERLING CHEMICAL INC	DE								X	X	10/22/01	
STERLING CHEMICALS HOLDINGS INC /TX	DE								X	X	10/22/01	
/												
STERLING FINANCIAL CORP /PA/	PA					X	X				11/02/01	
STORAGE USA INC	TN					X	X				10/31/01	
SUPERIOR NATIONAL INSURANCE GROUP I NC	DE		X			X	X				11/02/01	
SUSA PARTNERSHIP LP	TN					X	X				10/31/01	
SWITCHBOARD INC	DE	X									10/26/01	
TANGRAM ENTERPRISE SOLUTIONS INC	PA									X	10/31/01	
TCF FINANCIAL CORP	DE									X	11/05/01	
TELIK INC	DE					X	X				11/02/01	
TELLABS INC	DE					X					11/05/01	
TENNECO AUTOMOTIVE INC	DE					X	X				10/24/01	
TERAFORCE TECHNOLOGY CORP	DE		X					X			08/30/01	AMEND
TESORO PETROLEUM CORP /NEW/	DE					X	X				08/27/01	AMEND
TEXAS CAPITAL BANCSHARES INC/TX	DE					X	X				10/22/01	
TMS MORTGAGE INC	NJ					X	X				10/15/01	
TMS MORTGAGE INC	NJ					X	X				10/15/01	
TRI NATIONAL DEVELOPMENT CORP	WY					X					11/02/01	
TRITON PCS HOLDINGS INC						X	X				11/05/01	
TRITON PCS INC						X	X				11/05/01	
TROYDEN CORP	NV					X					10/10/01	
UAL CORP /DE/	DE									X	11/05/01	
UMPQUA HOLDINGS CORP	OR		X					X			12/18/00	AMEND
UNITED PETROLEUM CORP	DE					X					10/30/01	
UNUMPROVIDENT CORP	DE					X					11/06/01	
US AIRWAYS GROUP INC	DE							X	X		11/05/01	
US AIRWAYS INC	DE							X	X		11/05/01	
USA VIDEO INTERACTIVE CORP	WY					X	X				11/05/01	
USAONESTAR NET INC	NV			X			X				11/01/01	
USX CAPITAL LLC	DE					X	X				11/06/01	
USX CORP	DE					X	X				11/05/01	
VERIZON PENNSYLVANIA INC	PA					X	X				11/06/01	
VICOM INC	MN			X							10/22/01	AMEND
WASHINGTON MUTUAL MORTGAGE SECURITI ES CORP	DE							X			11/01/01	
WASHINGTON REAL ESTATE INVESTMENT T RUST	MD					X	X				11/05/01	
WEATHERFORD INTERNATIONAL INC /NEW/	DE					X	X				11/06/01	
WESTERN RESOURCES INC /KS	KS							X	X		11/06/01	
WESTPORT RESOURCES CORP /NV/	NV					X	X				11/05/01	
WHITE MOUNTAINS INSURANCE GROUP LTD	DE		X				X				11/01/01	
ZEBALLOS MINING CO	NV					X	X				11/01/01	
3 D SYSTEMS CORP	DE							X			08/20/01	AMEND
5B TECHNOLOGIES CORP	DE		X					X			10/01/01	AMEND